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ADMINISTRATIVE AND FINANCIAL MATTERS

INCOME AND BUDGET PERFORMANCE IN THE BIENNIUM 1998-1999

ARRANGEMENTS FOR ADMINISTRATIVE SUPPORT TO THE CONVENTION

Note by the Executive Secretary

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I. INTRODUCTION

A. Mandate

1. Rule 10 (e) of the draft rules of procedure being applied (FCCC/CP/1996/2) stipulates that the provisional agenda for each ordinary session of the Conference of the Parties (COP) shall include, as appropriate, the proposed budget as well as all questions pertaining to the accounts and financial arrangements.

2. The Subsidiary Body for Implementation (SBI), at its tenth session, after taking note of the report of the Executive Secretary on administrative and financial matters, requested the Executive Secretary to incorporate relevant points into a draft omnibus decision on administrative and financial matters to be considered by the SBI at its eleventh session and to be recommended for adoption by the COP at its fifth session (COP 5) (FCCC/SBI/1999/8).

B. Scope of the note

3. This document responds to the requests noted above, as follows:

(a) Section II contains information on financial performance during the biennium 1998-1999 as at 30 June 1999 for all four of the trust funds administered by the secretariat, namely the Trust Fund for the Core Budget of UNFCCC, the Trust Fund for Participation in the UNFCCC Process, the Trust Fund for Supplementary Activities and the Trust Fund for the Special Annual Contribution from the Government of Germany (Bonn Fund);

(b) Section III provides information on personnel matters, including on filling the approved posts and on the hiring of consultants;

(c) Section IV deals with the status of implementation of audit observations and recommendations;

(d) A brief update on the progress made regarding the administrative arrangements of the Convention is provided in section V;

(e) The last section raises an issue that concerns the determination of the indicative scale of contributions to the core budget.

4. This document should be read in conjunction with other documents relating to administrative and financial matters prepared by the secretariat for this session:

(a) The draft decision on the programme budget for the biennium 2000-2001 recommended by the SBI for adoption by COP 5 is contained in the report of the SBI on its tenth session (FCCC/SBI/1999/8, annex I);

(b) An addendum to this document has been issued to provide detailed information on financial performance and programme delivery in the secretariat (FCCC/SBI/1999/10/Add.1);

(c) A report on the status of receipt of contributions to UNFCCC trust funds is contained in document FCCC/SBI/1999/INF.9; and

(d) The interim financial statements for the first year of the biennium 1998-1999 are provided as an information document (FCCC/SBI/1999/INF.11).

C. Possible action by the SBI and the COP

5. The SBI may wish to consider the above information, and recommend a draft omnibus decision to COP 5 for adoption. An initial draft for such a decision is contained in annex I to this document. The draft omnibus decision addresses a number of non-programme budget related matters, including the adoption of the indicative scale of contributions for 2000 and 2001.

II. INCOME AND EXPENDITURE REPORT FOR 1998-1999

A. Trust Fund for the Core Budget of UNFCCC

1. Budget

6. The Conference of the Parties at its third session approved a total budget of $21,346,000 for the biennium 1998-1999 (decision 15/CP.3).[1] This budget is summarized in table 1 below, as slightly amended by the SBI at its eighth session to take into account the incorporation of the post-Kyoto contingency into the overall core budget.

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[1] See document FCCC/CP/1997/7, Add.1.

Table 1. Trust Fund for the Core Budget of UNFCCC, 1998-1999
*(United States dollars)**

	1998	1999	TOTAL
Programmatic expenditures	8 453 000	10 208 800	18 661 800
Overhead charge paid to United Nations	1 098 900	1 327 100	2 426 000
Increase in working capital reserve	93 400	164 800	258 200
TOTAL APPROVED BUDGET	**9 645 300**	**11 700 700**	**21 346 000**
Less contribution from the host Government	(887 600)**	(887 600)**	(1 775 200)
NET TOTAL BUDGET (to which the indicative scale of contributions is applied)	**8 757 700**	**10 813 100**	**19 570 800**

* Figures rounded off to the nearest $100.

** US$ 887,600 was calculated at the rate of US$ 1 = DM 1.69, prevailing at the time of the budget preparation, but actual receipts were only $837,989 in 1998 and $874,503 in 1999 as indicated in para. 8 below.

2. Income

7. Table 2 represents contributions paid in full or in part for 1998 by 98 Parties, or 57 per cent of the total number of Parties to the Convention. 54 Parties have paid their 1999 contribution. Ten out of the twenty top contributors had not yet paid their 1999 contributions by 30 June 1999. (An update on the status of contributions as at 30 September 1999 can be found in FCCC/SBI/1999/INF.9.)

8. In addition to the above, voluntary contributions of $837,989 in 1998 and $874,503 in 1999 have been received from the host Government. Table 3 (a) takes these contributions into consideration.

Table 2. Contributions 1998-1999
(United States dollars)

	Indicative contributions	Contributions received *(as at 30 June 1999)*	Percent of total received
1998	8 757 700	7 778 758	88.8
1999	10 813 100	5 951 472	55.0
TOTAL	**19 570 800**	**13 730 230**	**70.2**

3. Expenditures

9. 1998-1999 expenditures as at 30 June 1999 are shown in tables 3 (a), (b) and (c) Table 3 (a) reflects a comparison between the approved budget, the paid contributions and the actual expenditures. Tables 3 (b) and (c) show expenditures by programme and by object of expenditure respectively. The budget shown in the tables is for the entire biennium, while the expenditures are as at 30 June 1999. Hence, full expenditures as at 30 June 1999 should be in the range of 75 per cent of the approved budget.

10. Total expenditures through 30 June 1999 amounted to $11,885,482. This represents 56.4 per cent of the total approved budget, or 77 per cent of paid contributions. The lower level of expenditures of 56 per cent (as opposed to 75 per cent) as at 30 June 1999 can be attributed, at least in part, to financial prudence in response to cash flow. (It should be noted that authorization to use available cash resources, including carry-overs, was not given until the June 1999 sessions). To a certain extent, it could also be attributed to delays in filling posts and in effecting payments for which expenditures have been committed (e.g. contribution to IPCC). The expenditures for the second half of 1999 are expected to be relatively higher than the first half, as indicated in paragraph 11 below.

Table 3 (a). 1998-1999 expenditures as at 30 June 1999, in comparison to approved budget and paid contributions*

(United States dollars)

	Approved budget	Contributions received	Actual expenditures	Expenditure as a percentage of: Budget	Contributions received
1998	9 551 900	8 616 747	8 211 416	86.0	95.3
1999	11 535 900	6 825 975	3 674 066	31.9	53.8
TOTAL	**21 087 800**	**15 442 722**	**11 885 482**	**56.4**	**77.0**

* Budget and expenditures include 13 per cent administrative support costs, but not the working capital reserve.

(a) Expenditures by programme

11. As can be noted from table 3 (b), expenditures have been contained within original appropriations for all programmes. It is evident, however, that so far some programmes have spent less than their budgeted resource levels, owing largely to the fact that a number of posts were vacant for extended periods. However, expenditures during the second half of 1999 are expected to be proportionally higher than during the first half due to additional expenditures in relation to COP 5, payment of the annual contribution to IPCC, the filling of more vacant posts, and the holding of at least two workshops (on emission factors and implementation of Article 4.8 and 4.9) funded fully from the core budget.

Table 3 (b). Expenditures by programme, 1 January 1998 - 30 June 1999*
(United States dollars)

Programme	1998-1999 Approved budget	Estimated expenditures *(as at 30.6.99)*	Per cent of expenditures**
Executive Direction and Management	1 264 100	818 656	64.8
Science and Technology	5 520 700	2 434 001	44.1
Implementation	5 067 600	3 188 533	63.0
Conference and Information Support	3 400 700	1 921 485	56.5
Resources, Planning and Coordination	3 408 700	2 155 451	63.3
TOTAL	**18 661 800**	**10 518 126**	**56.4**

* Budget and expenditures do not include 13 per cent administrative support costs.

** It should be noted that full expenditures as at 30 June 1999 should not exceed 75 per cent of the approved budget.

(b) Expenditures by object of expenditure

12. While the overall expenditures are well below the approved budget, expenditures on consultants and staff travel have gone over 75 per cent for the following reasons:

(a) Consultants: In addition to hiring expertise not available in the secretariat, this budget line has been used to hire personnel to carry out certain functions pending the filling of vacant posts;

(b) Travel: As noted in document FCCC/SBI/1999/3, the high level of expenditures on staff travel (over 75 per cent) can be explained by two factors. First, the amount includes expenditures for preparatory missions for COP 4 that will be reimbursed by the Government of Argentina. Secondly, the interest in the UNFCCC process generated by COP 3 led to a demand for secretariat participation in meetings that was greater than that provided for in the approved budget. Steps are being taken to ensure that expenditures on travel for the biennium do not exceed budgeted levels.

Table 3 (c). Expenditures by object of expenditure, 1 January 1998 - 30 June 1999
(United States dollars)

Object of expenditure	Budgeted amount	Estimated expenditures	Per cent
Staff costs	13 316 100	7 000 834	52.6
Consultants	905 000	821 494	90.8
Travel of participants	576 000	277 756	48.2
Travel of staff	944 500	749 896	79.4
General operating expenses	2 170 200	1 288 146	59.4
Grants and contributions	750 000	380 000	50.7
TOTAL	**18 661 800**	**10 518 126**	**56.4**

4. Programme delivery

13. This section provides brief highlights on the main outputs achieved by each programme during the reporting period. Detailed information on programme performance at the subprogramme level is provided in addendum 1 to this document.

(a) Executive Direction and Management programme

14. The outputs of the Executive Direction and Management programme (EDM) have been consistent with those described in the programme budget of the Convention for the biennium 1998-1999 (see FCCC/CP/1997/INF.1). The Executive Secretary has provided ongoing management and coordination of the activities of the secretariat, as well as advice to the Convention bodies and their officers. In his external relations, he has attached a higher priority to promoting coordination among United Nations bodies, in addition to continuing to represent the interests of the UNFCCC at various intergovernmental meetings.

15. Time was invested, in cooperation with other programmes, in developing and revising a personnel policy, developing procedures for the use of supplementary funds, and recruiting senior staff. EDM has also started work with the Conference and Information Support programme on improving the system for recording, tracking and following up correspondence.

(b) Science and Technology programme

16. This programme supported the work of COP 4 and the eighth, ninth and tenth sessions of the Subsidiary Body for Scientific and Technological Advice by providing reports, studies and draft guidelines. Some of its main achievements are related to guidelines for reporting greenhouse gas (GHG) inventories by Annex I Parties; preparation of reports and organization of workshops on land-use, land-use change and forestry; methodological issues related to GHG inventories; preparation of reports and technical workshops on the Kyoto Protocol mechanisms; and reports related to technology, including supporting the launch of the technology transfer consultative process.

(c) Implementation programme

17. The programme supported the work of COP 4 and the eighth, ninth and tenth sessions of the SBI. Its main concentration over the reporting period was in supporting the development of guidelines for the preparation of national communications of Annex I Parties, maintaining the database on GHG emissions, facilitating consultations on procedures and mechanisms related to compliance under the Kyoto Protocol, coordinating in-depth reviews of second national communications from Annex I Parties, and launching initial actions on the programme of work to implement Articles 4.8 and 4.9 of the Convention and Articles 2.3 and 3.14 of the Kyoto Protocol.

18. It also facilitated financial and technical support to non-Annex I Parties for the preparation of their national communications, in cooperation with the GEF and its implementing agencies, and organized workshops and side events on capacity-building needs of non-Annex I Parties, on emission factors and activity data as well as on issues related to the implementation of the Convention by non-Annex I Parties.

(d) Conference and Information Support programme

19. The main achievements of this programme are related to making arrangements for, and servicing, COP 4 in Buenos Aires, held in conjunction with the ninth sessions of the subsidiary bodies, attended by more than 5,600 participants representing Parties, intergovernmental organizations, and non-governmental organizations. It also made arrangements for and serviced the eighth and tenth sessions of the subsidiary bodies in Bonn as well as several workshops.

20. In addition to providing information technology services, the programme facilitated internet broadcasts of COP proceedings, provided databases for GHG emissions, maintained the database of new ratifications of the Convention and the Kyoto Protocol, provided a database for participant registration, and maintained and further developed the UNFCCC web site, including special COP and subsidiary body modules.

21. In support of the initiative of the Executive Secretary, the programme has undertaken a number of activities in relation to collaboration among United Nations bodies, while also reaching out to key observer constituencies. These activities will eventually form the core of the outreach subprogramme to be implemented in the next biennium.

(e) Resources, Planning and Coordination programme

22. During the reporting period, this programme organized and supported four Bureau meetings and associated informal consultations by the President, as well as the plenary of COP 4, including preparing the associated documents for the session. It coordinated internal planning to facilitate integrated inputs of all programmes to COP 4 and the eighth, ninth and tenth sessions of the subsidiary bodies. Under RPC, the secretariat has provided all legal, financial and administrative services to the Convention. Notable achievements include the classification of all new secretariat posts, support to an extensive recruitment drive, and the drafting of a revised secretariat personnel policy, the processing of amendments to the lists contained in Annex I to the Convention and support to the opening for signature of the Kyoto Protocol.

B. Trust Fund for Participation in the UNFCCC Process

23. Table 4 provides detailed information on income and expenditures under the Trust Fund for Participation in the UNFCCC Process. Further information on contributions as at 30 September 1999 will be contained in document FCCC/SBI/1999/INF.9.

24. As at 30 June 1999, contributions received for the biennium amounted to $1,823,043, while the expenditures thus far totalled $2,115,564, resulting in a shortfall of $292,521 in contributions over expenditures. However, owing to the substantial amount carried forward from the 1996-1997 biennium and adjustments on prior years' obligations, there is still sufficient balance to cover participation costs of all Parties eligible for financial support to participate in COP 5. At least one delegate from each eligible Party will be provided with financial support to attend COP 5. In addition, a second participant will be financed from each of the least developed countries and small island developing States.

25. Those Parties which are not least developed countries or small island developing States and which would normally be eligible for financial support to participate in the meetings of the Conference of the Parties and its subsidiary bodies, but which have not yet paid their contributions for 1996 through 1998, will not be considered for funding from the Trust Fund for Participation. As requested by the SBI at its tenth session, the Executive Secretary will prepare a note on how to respond to the situation of late payment of contributions for consideration at the SBI at its twelfth session (see FCCC/SBI/1999/8, para. 69 (d)).

Table 4. Status of the Trust Fund for Participation as at 30 June 1999
(United States dollars)

INCOME	
Carry forward 1996-1997	1 037 117
Savings on prior years' adjustments	694 523
Contributions received in 1998	1 014 685
Contributions received in 1999	808 358
Interest	57 577
Cash reserve (10 per cent of 1998 expenditure)	(142 253)
TOTAL INCOME 1998-1999	**3 470 007**
EXPENDITURES	
I. Actual 1998 expenditures	
Eighth sessions of subsidiary bodies, Bonn (84 participants)	375 076
COP 4 and ninth sessions of subsidiary bodies, Buenos Aires	951 355
Bureau meetings and informal consultations	96 102
Total direct expenditures	*1 422 533*
Overhead charge	184 602
Subtotal I: Actual 1998 expenditures	**1 607 135**
II. 1999 expenditures as at 30 June 1999	
Tenth sessions of subsidiary bodies, Bonn	375 000
Bureau meetings, workshops and informal consultations	74 937
Total direct expenditures	*449 937*
Overhead charge	58 942
Subtotal II: 1999 estimated expenditures as at 30 June 1999	**508 429**
III. Estimated expenditures from 1 July to 31 December 1999	
COP 5 and bureau meeting in September 1999 (estimate)	825 000
Overhead charge	107 250
Subtotal III: estimated expenditures from 1 July to 31 December 1999	**932 250**
TOTAL 1998-1999 EXPENDITURES (I, II and III)	**3 047 814**
BALANCE	**422 193**

C. Trust Fund for Supplementary Activities

26. Receipts for this trust fund by 30 June 1999 amounted to $2,802,791 ($1,670,918 in 1998 and $1,131,873 in 1999). Together with the balance brought forward from the previous biennium and accrued interest, the total amount available for supplementary activities during the biennium totalled $3,963,191, although a substantial portion of these contributions were earmarked and their use is restricted to finance specific activities. Information on contributions

to the Trust Fund for Supplementary Activities as at 30 September 1999 is contained in document FCCC/SBI/1999/INF.9.

27. The actual expenditures in 1998 amounted to $1,255,130, with further commitments of $1,321,777 in 1999, to cover the following supplementary activities, for which approved funds are not available under the core budget:

Project	1998 expenditure *(United States dollars)*	1999 commitments *(United States dollars)*
Maintenance of information and outreach support capacity in the Convention secretariat. 3 professional and 1 GS posts have been created under this project to provide Parties and the secretariat with up-to-date information - including in electronic form.	473 731	283 800
Seconded staff bilaterally funded by Governments, notably by the USA and Japan under the Science and Technology subprogramme. The incumbents left the secretariat or were appointed to a core budget post. (Such staffing arrangements have now been terminated.)	272 584	7 130
African regional workshops on capacity-building and CDM (Dakar, May, October 1998 and May 1999). These workshops were organized at the initiative of the SBI Chairman and financed from contributions specifically made for this purpose	175 304	61 000
Workshop on project-based mechanisms and activities implemented jointly (Abidjan, September 1998). The workshop brought together over 50 participants who helped to develop practical options on methodological, technical and institutional issues.	105 716	(24 059)
Workshops on land-use, land-use change and forestry (Article 3.4 of the Kyoto Protocol) (Rome, September 1998; Indianapolis, April 1998). 97 participants were brought together in Rome and 125 in Indianapolis, 35 of whom were provided with financial support.	35 747	118 847
Informal consultations on mechanisms provided for in Articles 6, 12 and 17 of the Kyoto Protocol (Buenos Aires, October 1998).	30 375	-
Technical workshop on mechanisms (Bonn, April 1999). The workshop was attended by 97 participants with the objective of producing operational guidelines on mechanisms under the Kyoto Protocol. 51 participants were provided with financial support.	-	259 300
Strengthening the activities of the non-Annex I subprogramme in the area of financial and technical cooperation. Through this project two posts, one P2 and one GS, have been created temporarily to support the subprogramme.	20 317	211 683
Regional workshops on transfer of technology. The first workshop will be held in August 1999 in Arusha, Tanzania, while the Asian and Latin American workshops are scheduled for early 2000.	-	150 000

Project	1998 expenditure (United States dollars)	1999 commitments (United States dollars)
Fellowship programme: as at 30 June 1999, five fellows from China, Colombia, Nigeria, the Philippines and the Russian Federation have been awarded three month fellowships for conducting research on climate change-related topics.	-	69 800
Improved management of supplementary funds. The main objective of this project is to provide support to the Executive Secretary in following up fund-raising issues and prioritizing the use of resources for supplementary activities. One post at P-2 level is financed under this project.	-	32 160
Total direct expenditures	1 113 774	1 169 661
Programme support costs	141 356	152 055
Total expenditures	**1 255 130**	**1 321 717**

28. The secretariat continues to undertake additional fund-raising activities in order to attract contributions for general supplementary activities as well as for specific purposes based on approved projects.

D. Trust Fund for the Special Annual Contribution from the Government of Germany (Bonn Fund)

29. As part of its offer to host the secretariat in Bonn, the Government of Germany pledged a special annual contribution of DM 3.5 million to the UNFCCC to offset primarily the costs of organizing meetings and events in Germany. By 30 June 1999, 75 per cent of the total contribution for the current biennium (DM 5.25 million) was received. It has also been confirmed that the remaining amount of DM 1.75 million has already been remitted by the Government. The timely payment of these funds, in accordance with bilateral arrangements between the Government of Germany and the Convention secretariat, has helped to ensure the smooth organization of intergovernmental meetings in Bonn.

30. In 1998, over 67 per cent of the actual expenditures covered costs related to conference servicing and information activities. About 20 per cent was used to provide financial support to participants from developing countries and countries in economic transition to attend informal meetings and workshops in Bonn or in developing countries. The remaining 13 per cent is charged by the United Nations for administrative support.

31. The expenditure pattern in 1999 will be different, since the requirements for conference facilities will be higher as both of the annual sessional periods of Convention bodies will be convened in Bonn for the first time. A detailed income and expenditure report is provided in table 5.

Table 5. 1998 expenditures and 1999 estimated expenditures under the Bonn Fund
(United States dollars)

	1998	1999
INCOME		
Contributions*	1 949 997	1 944 594
Interest/miscellaneous income	27 126	33 927
TOTAL INCOME	**1 977 123**	**1 978 521**
EXPENDITURES		
I. Conference support		
Facilities	702 140	1 465 904
Staff	320 610	205 000
Travel	12 906	-
Subtotal I: Conference support	**1 035 656**	**1 670 904**
II. Information support		
Staff	132 428	80 000
COP 4 Information	116 816	-
Publications and supplies	17 103	-
Subtotal II: Information support	**266 347**	**80 000**
III. Workshops	**401 006**	**-**
TOTAL (I, II and III)	**1 703 009**	**1 750 904**
Overhead charge	221 391	227 617
TOTAL EXPENDITURES	**1 924 400**	**1 978 521**

* Equivalent to DM 3.5 million each year.

III. PERSONNEL

A. Staff

32. For the tenth session of the SBI, the secretariat had reported developments in classifying, advertising and filling the approved posts under all sources of funding. Although some posts have since been filled, others were vacated. Therefore no significant progress has been achieved since the last report. The comparison between approved and filled posts as at 30 June 1999 is reflected in table 6.

Table 6. Comparison of established posts and occupied posts by source of funding as at 30 June 1999

Level	Core		Supplementary		Bonn Fund		Overhead		Total	
	Approved	Filled	Approved	Filled	Approved	Filled	Approved	Filled	Approved	Filled
ASG	1	1							1	1
D-2	2	2							2	2
D-1	5	4							5	4
P-5	6	6	1	1			1	1	8	8
P-4	9	6			1	1	1	1	11	8
P-3	12	9	1	0	2	0			15	9
P-2	6	3	3	1	1	0			10	4
Subtota	41	31	5	2	4	1	2	2	52	36
GS	22	20	2	2	5	4	5	5	34	31
TOTAL	**63**	**51**	**7**	**4**	**9**	**5**	**7**	**7**	**86**	**67**

33. "Filled" posts in the table refer to posts occupied by staff who have been given a fixed-term contract of one year or more, and are appointed against established posts after going through the complete recruitment process including review by the UNFCCC Appointment and Promotion Board. In addition to these, 8 professionals and 15 in the general service (GS) category have been hired under temporary assistance or short-term contracts as at 30 June 1999, bringing the total number of staff in the secretariat, excluding consultants, to 90.

34. Out of 41 professional posts funded from the core budget, 31 have been filled as at 30 June 1999. Meanwhile, the recruitment process of three candidates have been finalized. One started on 1 July 1999 and two started in August 1999, bringing the total of filled posts to 34. Of the remaining 7 posts, 3 are under recruitment and 4 have been frozen and the funds allocated to other staffing arrangements (e.g., temporary staff, consultants). Both of the vacant core posts in the GS category have been advertised and they will soon be filled. Meanwhile, the same services are being provided by temporary staff under short-term contracts.

35. Most of the vacant posts financed from the supplementary fund and the Bonn fund are also being used to finance the hiring of consultants or staff under "general temporary assistance". One post financed from the supplementary fund will be filled in August 1999. Two out of the four professional posts and one GS post under the Bonn Fund are occupied by staff under short-term contracts.

36. Information on the geographical distribution of the appointed staff on board is provided in tables 7 (a) and (b). While priority is given to professional competence and relevant experience, every attempt is made to ensure geographical diversity of staff in the professional category and above.

Table 7 (a). Geographical distribution of appointed staff members as at 30 June 1999

Grade	Africa	Asia	L. America and Caribbean	E. Europe	W. Europe and others	Total
ASG					1	1
D-2	1				1	2
D-1		1		1	2	4
P-5	2	1	1	1	3	8
P-4	2		2	1	3	8
P-3	1	2	1		4	8
P-2	1	2	1		1	5
TOTAL	**7**	**6**	**5**	**3**	**15**	**36**
Percent of total	**19.4**	**16.7**	**13.9**	**8.3**	**41.7**	**100**

Table 7 (b). Geographical distribution of appointed staff members as at 30 June 1999: comparison between Annex I and non-Annex I Party distribution

Grade	Annex I	Non-Annex I
ASG		1
D-2	1	1
D-1	3	1
P-5	4	4
P-4	4	4
P-3	4	4
P-2	1	4
TOTAL	**17**	**19**
Percent of total	**47.2**	**52.8**

B. Consultants

37. Between 1 January 1998 and 30 June 1999, 79 individual consultants have been hired, and provided a combined total of 155 months of work. One half of this total represented assistance in editing, conference management, information technology and administration, partly supplementing staff resources and partly filling gaps left by vacancies. The nature of these tasks and, in some cases, the linguistic requirements, direct the search for such services to the region in which the secretariat is located, thus skewing the geographical distribution of consultants towards those resident in Annex I Parties. The other half of the work months represented the

provision of expertise not available within the secretariat. While such expertise is more easily found in Annex I Parties, an effort is being made to diversify sources so as to increase the input of experts from developing countries. An additional, and sometimes alternative, source of expertise is the roster of experts (see FCCC/SBSTA/1999/9).

38. Table 8 provides information on how such services were distributed among the various programmes.

Table 8. Outside expertise and professional services, 1 January 1998 - 30 June 1999
(United States dollars)

Programme	Person-months	Cost
Executive Direction and Management	-	
Science and Technology	51	328 404
Implementation	36	325 942
Conference and Information Support	56	107 150
Resources, Planning and Coordination	12	59 998
TOTAL	**155**	**821 494**

IV. IMPLEMENTATION STATUS OF AUDIT OBSERVATIONS

39. The secretariat was audited by the Office of the Internal Oversight Services (OIOS) of the United Nations in late 1997 and early 1998. The audit observations along with the efforts made to implement the recommendations were reported at COP 4.[2] The COP, after taking note of the report, requested the Executive Secretary to complete the implementation of the recommendations and report the progress through the SBI. The update on the implementation is regularly reported to the OIOS and such reports will be made available to the SBI if so required.

40. In addition, the United Nations External Auditors conducted regular audits over the biennium. Their first report, together with the comments of the secretariat, was made available to the COP at its fourth session in document FCCC/CP/1998/9 and FCCC/CP/1998/10.

41. At the beginning of this year, the external auditors conducted another audit and submitted their report on 12 April 1999, covering issues regarding transfer of financial and

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[2] See document FCCC/CP/1998/INF.1.

administrative authority to the UNFCCC, establishment of automated financial management systems, as well as a recommendation on how to improve financial controls. Action to implement their recommendations is under way.

V. ADMINISTRATIVE ARRANGEMENTS

42. The progress made in implementing the transfer of the administrative responsibilities from the United Nations Office at Geneva to UNFCCC Bonn was reported to the SBI at its tenth session (see FCCC/SBI/1999/3, paras. 46-50).

43. Meanwhile, the secretariat continued to make progress in strengthening its human resource capabilities in preparation for the increased responsibilities.

44. It is expected that the secretariat will assume full responsibility for human resources administration in late 1999, with the transfer of financial functions following in 2000. After considering various options for information management systems, it has been decided that linking the secretariat into the Integrated Management Information System (IMIS) of the United Nations would be the most efficient and cost-effective option. The Financial Management and Administration subprogramme, together with the Information Support subprogramme, have started to make the necessary arrangements with UNOG to implement the linkage to IMIS before the end of 1999.

VI. SCALE OF CONTRIBUTIONS

45. The COP, at its fifth session, must adopt a new indicative scale of contributions for 2000 and 2001. In the context of developing a proposed scale for consideration by the SBI, an issue has arisen covering the shares of those Parties which have hitherto been fixed, namely the United States of America and those with a minimum contribution of 0.001 per cent.

46. The financial procedures of the Convention stipulate that contributions "made each year by Parties on the basis of the indicative scale adopted by consensus by the Conference of the Parties, ... [are] based on such a scale of assessments of the United Nations as may be adopted from time to time by the General Assembly" (decision 17/CP.4, paras. 15-16).[3] In past financial periods, the resulting scale of contributions of each Party had to be adjusted upwards in order to meet the difference between the United Nations membership and that of the UNFCCC. By

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[3] According to decision 17/CP.4, paras. 15 and 16: "[15.] [*The Conference of the Parties*] *Adopts* the new indicative scale for the biennium 1998-1999 adjusted so as to ensure that no Party contributes less than 0.001 per cent of the total; that no one contribution exceeds 25 per cent of the total; and that no contribution from a least developed country Party exceeds 0.01 per cent"; and [16.] [*The Conference of the Parties*] "*Amends* paragraph 7 (a) of the financial procedures (as contained in decision 15/CP.1, annex I) to read as follows: "Contributions made each year by Parties on the basis of the indicative scale adopted by consensus by the Conference of the Parties, and based on such a scale of assessments of the United Nations as may be adopted from time to time by the General Assembly". See document FCCC/CP/1998/16/Add.1.

virtue of the provisions of the financial procedures in effect at that time, namely that "no one contribution exceeds 25 per cent of the total", this upwards adjustment was not applied to the contribution of the United States of America, as its share was already at 25 per cent by virtue of the United Nations scale of assessments. This particular provision of the financial procedures, along with the provision for a minimum contribution of 0.001 per cent, were deleted through the process of amendment undertaken at COP 4, although, in adopting the new indicative scale, the COP did refer to the 25 per cent ceiling and the 0.001 minimum in its decision (17/CP.4).

47. For the coming financial period, the indicative contributions of most Parties can be adjusted downward, becoming slightly less than the percentages prescribed in the United Nations scale of assessments, due to nearly universal membership in the Convention and to the fact that a few Parties that do not contribute to the regular budget of the United Nations (and are not included in the United Nations scale of assessments) have become Parties to the UNFCCC.[4] For the Parties whose contribution is 0.001 per cent, the adjustment downward is so small as to not affect the percentage share at three decimal places. For the United States, the question remains how to apply this adjustment in the context of the adoption by the COP of the new indicative scale "based on" the United Nations scale of assessments. The United States' share stands at 25 per cent in the United Nations scale of assessments.[5]

48. In agreeing on the 2000-2001 indicative scale of contributions, the SBI will need to consider the matter at this session and make a recommendation to COP 5. Two options can be identified:

(a) The percentage share of the United States could, in accordance with the general downward adjustment of contributions, be revised to 24.220 per cent; or

(b) The percentage share of the United States could be held at 25 per cent as a consequence of the calculation of the United Nations scale of assessments.

Other percentages shares would be adjusted accordingly. The two options are provided in annex II to the present document.

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[4] Notably the European Community (2.5 per cent).

[5] In the absence of a ceiling, the United States' share of the United Nations scale of assessments would, according to the applicable methodology, stand at approximately 29 per cent.

Annex I

DRAFT DECISION ON ADMINISTRATIVE AND FINANCIAL MATTERS

The Conference of the Parties,

Having considered the report of the Subsidiary Body for Implementation on its work on administrative and financial matters at its tenth and eleventh sessions, and having taken note of the reports by the Executive Secretary on the related subjects;

1. *Adopts* the indicative scale of contributions for 2000 and 2001 contained in the annex to this decision [to be completed];

2. *Expresses* its appreciation to the Parties that made their indicative contributions to the core budget in a timely manner, as well as those that made additional voluntary contributions to the Trust Fund for Participation in the UNFCCC Process and the Trust Fund for Supplementary Activities of the UNFCCC;

3. *Also expresses* its appreciation to the Government of Germany for its special contribution to cover costs of events held in Bonn or in developing countries (the Bonn Fund);

4. *Expresses concern* at the continuing trend toward late payment of contributions, some still outstanding from 1996 and 1997, and encourages all Parties that have not yet paid their contributions to do so without further delay;

5. *Requests* the Executive Secretary to present to the COP, through the SBI at its twelfth session, possible options to respond to the situation of late payment of contributions for consideration at its sixth session;

6. *Authorizes* the Executive Secretary to enter into commitments up to the level of the approved budget, drawing on available resources, including unspent balances or contributions from the previous financial period, pending an overall review at its sixth session, of the issue of the carry-over balance from the 1996-1997 biennium, to be undertaken on the basis of the recommendation from the Subsidiary Body for Implementation;

7. *Takes note* of the developments reported by the Executive Secretary in his discussions with the United Nations regarding administrative arrangements for the Convention;

8. *Requests* the Executive Secretary to continue with these discussions to achieve a more rational and efficient approach to the administrative arrangements between the secretariat and the United Nations, and to report to the SBI at its twelfth session on progress made in implementing the new administrative arrangements;

9. *Takes note* of the continuing action taken by the Executive Secretary to implement the recommendations made by both the internal and external auditors of the United Nations and *invites* the Executive Secretary to complete implementation as appropriate.

Annex II

INDICATIVE SCALE OF CONTRIBUTIONS TO THE CORE BUDGET OF THE UNFCCC: 2000

Party	Indicative scale		Party	Indicative scale	
	I*	II**		I*	II**
Albania	0.003	0.003	Dominican Republic	0.015	0.014
Algeria	0.083	0.082	Ecuador	0.019	0.019
Antigua and Barbuda	0.002	0.002	Egypt	0.063	0.062
Argentina	1.069	1.057	El Salvador	0.012	0.012
Armenia	0.006	0.006	Eritrea	0.001	0.001
Australia	1.437	1.421	Estonia	0.012	0.012
Austria	0.913	0.903	Ethiopia	0.006	0.006
Azerbaijan	0.011	0.011	European Community	2.500	2.500
Bahamas	0.015	0.014	Fiji	0.004	0.004
Bahrain	0.016	0.016	Finland	0.526	0.520
Bangladesh	0.010	0.010	France	6.341	6.273
Barbados	0.008	0.008	Gabon	0.015	0.014
Belgium	1.070	1.058	Gambia	0.001	0.001
Belize	0.001	0.001	Georgia	0.007	0.007
Benin	0.002	0.002	Germany	9.550	9.448
Bhutan	0.001	0.001	Ghana	0.007	0.007
Bolivia	0.007	0.007	Greece	0.340	0.336
Botswana	0.010	0.010	Grenada	0.001	0.001
Brazil	1.425	1.410	Guatemala	0.017	0.017
Bulgaria	0.011	0.011	Guinea	0.003	0.003
Burkina Faso	0.002	0.002	Guinea-Bissau	0.001	0.001
Burundi	0.001	0.001	Guyana	0.001	0.001
Cambodia	0.001	0.001	Haiti	0.002	0.002
Cameroon	0.013	0.012	Honduras	0.003	0.003
Canada	2.647	2.619	Hungary	0.116	0.115
Cape Verde	0.002	0.002	Iceland	0.031	0.031
Central African Republic	0.001	0.001	India	0.290	0.287
Chad	0.001	0.001	Indonesia	0.182	0.180
Chile	0.132	0.130	Iran (Islamic Republic of)	0.156	0.154
China	0.964	0.954	Ireland	0.217	0.215
Colombia	0.106	0.104	Israel	0.339	0.335
Comoros	0.001	0.001	Italy	5.267	5.211
Congo	0.003	0.003	Jamaica	0.006	0.006
Cook Islands	0.001	0.001	Japan	19.931	19.719
Costa Rica	0.016	0.015	Jordan	0.006	0.006
Côte d'Ivoire	0.009	0.009	Kazakhstan	0.047	0.046
Croatia	0.029	0.029	Kenya	0.007	0.007
Cuba	0.023	0.023	Kiribati	0.001	0.001
Cyprus	0.033	0.033	Kuwait	0.124	0.123
Czech Republic	0.104	0.103	Lao People's Democratic Republic	0.001	0.001
Democratic People's Republic of Korea	0.015	0.014	Latvia	0.016	0.016
Democratic Republic of the Congo	0.007	0.007	Lebanon	0.016	0.015
Denmark	0.670	0.663	Lesotho	0.002	0.002
Djibouti	0.001	0.001	Libyan Arab Jamahiriya	0.120	0.119
Dominica	0.001	0.001	Liechtenstein	0.006	0.006

* Downward adjustment applied to all Parties (see para. 48 above).

** 25 per cent share retained for U.S.A. (see para. 48 above).

Party	Indicative scale		Party	Indicative scale	
	I*	II**		I*	II**
Lithuania	0.015	0.014	Saint Vincent and the Grenadines	0.001	0.001
Luxembourg	0.066	0.065	Samoa	0.001	0.001
Madagascar	0.003	0.003	San Marino	0.002	0.002
Malawi	0.002	0.002	Saudi Arabia	0,544	0.539
Malaysia	0.177	0.175	Senegal	0.006	0.006
Maldives	0.001	0.001	Seychelles	0.002	0.002
Mali	0.002	0.002	Sierra Leone	0.001	0.001
Malta	0.014	0.013	Singapore	0.173	0.172
Marshall Islands	0.001	0.001	Slovakia	0.034	0.034
Mauritania	0.001	0.001	Slovenia	0.059	0.058
Mauritius	0.009	0.009	Solomon Islands	0.001	0.001
Mexico	0.964	0.954	South Africa	0.355	0.351
Micronesia (Federated States of)	0.001	0.001	Spain	2.510	2.483
Monaco	0.004	0.004	Sri Lanka	0.012	0.012
Mongolia	0.002	0.002	Sudan	0.007	0.007
Morocco	0.040	0.039	Suriname	0.004	0.004
Mozambique	0.001	0.001	Swaziland	0.002	0.002
Myanmar	0.008	0.008	Sweden	1.045	1.034
Namibia	0.007	0.007	Switzerland	1.177	1.165
Nauru	0.001	0.001	Syrian Arab Republic	0.062	0.061
Nepal	0.004	0.004	Tajikistan	0.004	0.004
Netherlands	1.581	1.564	Thailand	0.165	0.163
New Zealand	0.214	0.212	The Former Yugoslav Republic of Macedonia	0.004	0.004
Nicaragua	0.001	0.001	Togo	0.001	0.001
Niger	0.002	0.002	Tonga	0.001	0.001
Nigeria	0.031	0.031	Trinidad and Tobago	0.016	0.015
Niue	0.001	0.001	Tunisia	0.027	0.027
Norway	0.591	0.585	Turkmenistan	0.006	0.006
Oman	0.049	0.049	Tuvalu	0.001	0.001
Pakistan	0.057	0.057	Uganda	0.004	0.004
Panama	0.013	0.012	Ukraine	0.184	0.182
Papua New Guinea	0.007	0.007	United Arab Emirates	0.172	0.171
Paraguay	0.014	0.013	United Kingdom	4.933	4.881
Peru	0.096	0.095	United Republic of Tanzania	0.003	0.003
Philippines	0.078	0.078	United States of America	24.220	25.000
Poland	0.190	0.188	Uruguay	0.047	0.046
Portugal	0.418	0.413	Uzbekistan	0.024	0.024
Qatar	0.032	0.032	Vanuatu	0.001	0.001
Republic of Korea	0.975	0.964	Venezuela	0.155	0.153
Republic of Moldova	0.010	0.010	Viet Nam	0.007	0.007
Romania	0.054	0.054	Yemen	0.010	0.010
Russian Federation	1.043	1.032	Yugoslavia	0.025	0.025
Rwanda	0.001	0.001	Zambia	0.002	0.002
Saint Kitts and Nevis	0.001	0.001	Zimbabwe	0.009	0.009
Saint Lucia	0.001	0.001	**TOTAL**	**100**	**100**

* Downward adjustment applied to all Parties (see para. 48 above).

** 25 per cent share retained for U.S.A. (see para. 48 above).

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UNITED NATIONS

Framework Convention on Climate Change

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ADMINISTRATIVE AND FINANCIAL MATTERS

INCOME AND BUDGET PERFORMANCE IN THE BIENNIUM 1998-1999

Addendum

PERFORMANCE REPORT, 1998-1999

Note by the secretariat

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I. INTRODUCTION

1. Upon considering the report of the Executive Secretary on administrative and financial matters at its tenth session, several Parties expressed interest in seeing a more detailed performance report, preferably at the subprogramme level. This report is a response to that request. It covers the period 1 January 1998 to 30 June 1999. Summaries of this information are included in the relevant section of the main document (FCCC/SBI/1999/10).

2. The report contains a common table for each subprogramme in the secretariat. Each table is divided into two main parts:

(a) Financial and personnel resources; and

(b) Main results and outputs.

3. The first part provides a comparison between the approved core budget for the biennium 1998-1999 and the actual expenditures as at 30 June 1999, broken down by objects of expenditure. All budget and expenditure figures are in United States dollars. In addition, posts that have been approved for financing from the core budget are indicated.

4. The second portion provides a brief summary of the main outputs for the biennium. It must be emphasized that these outputs do not represent a comprehensive list of all tasks undertaken. For simplification purposes, outputs have been standardized as documents produced and events organized by each subprogramme, as these are key indicators of secretariat activity in support of the intergovernmental process. The titles of the documents are summarized for brevity.

5. In addition to the secretariat's main output, which has been to organize and support six weeks of intergovernmental meetings, other significant achievements are also indicated. Some of these achievements, especially in the areas of information products and non-Annex I support and with regard to workshops, were possible due to complementary expenditures from supplementary funds.

6. If Parties find this presentation useful, it can be refined for reporting to future sessions of the Conference of the Parties. A list of abbreviations is contained in the work programme document, FCCC/CP/1999/INF.1.

II. PERFORMANCE REPORT, 1998-1999: TABLES

Table 1. Executive Direction and Management programme

PERFORMANCE REPORT 1998-1999			
Programme: Executive Direction and Management		**Subprogramme:** none	
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure	Core posts
Posts and other staff costs Travel **Total**	1 161 100 103 000 **1 264 100**	705 920 112 736 **818 656**	Executive Secretary (ASG), P-4 Special Assistant, four GS (Personal Assistant, Secretary, Registry Assistant, Registry Clerk)
RESULTS AND OUTPUTS			
Documents prepared: N/A			
Events organized: Working lunch between Ministers and other Heads of delegation and chief executive officers from the private sector during COP 4			
Other significant achievements: 1. Developed procedures for the use of supplementary funds 2. Developed and revised a new UNFCCC personnel policy 3. Promoted cooperation on climate change activities with heads of partner organizations 4. Started work with Conference and Information Support Programme to improve the system for recording, tracking and following up correspondence			

Table 2 (a). Science and Technology programme
Direction and Management subprogramme

PERFORMANCE REPORT 1998-1999			
Programme: Science and Technology		**Subprogramme:** Direction and Management	
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure	Core posts
Posts and other staff costs	1 097 900	529 401	D-2 Coordinator,
Consultants	0	40 080	P-2 Programme Officer
Travel	60 000	68 527	(vacant), two GS
Contribution to IPCC	750 000	350 000	(Secretary, Administrative
Total	**1 907 900**	**988 008**	Assistant)
RESULTS AND OUTPUTS			
Documents prepared: 1. FCCC/SBSTA/1998/1; Provisional agenda and annotations (SBSTA - eighth session) 2. FCCC/SBSTA/1998/6; Report of the SBSTA (SBSTA - eighth session) 3. FCCC/SBSTA/1998/9; Report of the SBSTA (SBSTA - ninth session) 4. FCCC/SBSTA/1999/1; Provisional agenda and annotations (SBSTA - tenth session)			
Events organized: N/A			
Other significant achievements: 1. Provided support to SBSTA Chairman 2. Coordinated the UNFCCC fellowship programme			

Table 2 (b). Science and Technology programme
Methodology and Science subprogramme

PERFORMANCE REPORT 1998-1999			
Programme: Science and Technology		**Subprogramme:** Methodology and Science	
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure	Core posts
Posts and other staff costs	1 265 200	356 832	D-1 Manager/Deputy
Consultants	290 000	165 578	Coordinator, P-4 Programme
Travel of participants/expert group	120 000	52 151	Officer, three P-3 Programme
Travel	73 000	53 060	Officers (two vacant,
Miscellaneous	0	8 959	one filled effective
Total	**1 748 700**	**636 580**	2 August 1999), GS Secretary

RESULTS AND OUTPUTS

Documents prepared:

1. FCCC/SBSTA/1998/2; Cooperation with relevant international organizations (SBSTA - eighth session)
2. FCCC/SBSTA/1998/3; Issues related to guidelines for the preparation of Annex I communications (SBSTA - eighth session)
3. FCCC/SBSTA/1998/4; Programme of work on methodologies, progress report (SBSTA - eighth session)
4. FCCC/SBSTA/1998/INF.1; Issues related to land-use change and forestry (SBSTA - eighth session)
5. FCCC/SBSTA/1998/7 and 8; Methodological issues identified: greenhouse gas (GHG) inventories (SBSTA - ninth session)
6. FCCC/CP/1998/7; Report on the development of observational networks of the climate system (COP 4)
7. FCCC/CP/1998/INF.4; Report on the initial SBSTA workshop on land-use, land-use change and forestry (LULUCF) (COP 4)
8. FCCC/SB/1999/1; Report on amendments to the revised guidelines, and addendum (SBSTA and SBI - tenth sessions)
9. FCCC/SB/1999/2; Work programme on methodological issues (Articles 5, 7 and 8 of the Protocol) (SBSTA and SBI - tenth sessions)
10. FCCC/SBSTA/1999/3; Review process related to GHG inventories (SBSTA - tenth session)
11. FCCC/SBSTA/1999/4; Information on impacts, adaptation and mitigation assessment methods (SBSTA - tenth session)
12. FCCC/SBSTA/1999/5; List of policy and procedural issues (Article 3.3 and 3.4 of the Protocol) (SBSTA - tenth session)
13. FCCC/SBSTA/1999/INF.1; Report on the workshop on methodological issues, and addendum (SBSTA - tenth session)
14. FCCC/SBSTA/1999/INF.2; Comparison of GHG inventories between national and IPCC methodologies (SBSTA - tenth session)
15. FCCC/SBSTA/1999/INF.3; Effects of the recalculation of the GHG inventories (SBSTA - tenth session)
16. FCCC/SBSTA/1999/INF.4; Information on emissions from fuel used in international transportation (SBSTA - tenth session)
17. FCCC/SBSTA/1999/INF.5; Report on the second SBSTA workshop on LULUCF (SBSTA - tenth session)

Three informal documents on international bunker fuels, methods to estimate emission inventories of HFCs, PFCs and SF_6 and a compendium of decision tools to evaluate adaptation strategies to climate change. These were presented at the tenth session of the SBSTA.

Events organized:

1. First SBSTA workshop on LULUCF; 23-25 September 1998, Rome; 98 participants
2. Workshop on methodological issues related to GHG inventories, 9-11 December 1998, Bonn; 85 participants
3. Second SBSTA workshop on LULUCF; 26-28 April 1998, Indianapolis; 116 participants

Other significant achievements:

1. Supported development of the new revised UNFCCC reporting guidelines on annual inventories for adoption by COP 5
2. Helped to clarify issues related to Article 3.3 and 3.4 of the Kyoto Protocol and facilitated an agreement on the timetable for decision-making on these articles (decision 9/CP.4)
3. Compiled methods related to impact assessments and adaptation technologies

Table 2 (c). Science and Technology programme Technology subprogramme

PERFORMANCE REPORT 1998-1999			
Programme: Science and Technology		**Subprogramme:** Technology	
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure	Core posts
Posts and other staff costs	689 000	130 807	P-5 Manager, P-4 Programme Officer (vacant), P-3 Programme Officer, GS Secretary
Consultants	70 000	25 407	
Expert groups	60 000	6 056	
Travel	85 000	32 241	
Total	**904 500**	**194 511**	
RESULTS AND OUTPUTS			
Documents prepared: 1. FCCC/SBSTA/1998/5; Development and transfer of technologies (SBSTA - eighth session) 2. FCCC/SBSTA/1998/INF.2; Options for technological information centres and networks (SBSTA - eighth session) 3. FCCC/SBSTA/1998/INF.5; Technology and technology information needs (SBSTA - eighth session) 4. FCCC/TP/1998/1; Barriers and opportunities related to the transfer of technology (COP 4) 5. FCCC/CP/1998/6; Progress report on transfer of technology: draft work programme (COP 4) 6. FCCC/SBSTA/1999/2; Development and transfer of technologies (SBSTA - tenth session) 7. FCCC/TP/1999/1; Technical paper on coastal adaptation technologies (SBSTA - tenth session)			
Events organized: 1. UNFCCC technology round table; COP 4 event; 162 participants 2. UNFCCC expert meeting on coastal adaptation technologies; 22 -23 March 1999, Bonn; 12 participants			
Other significant achievements: Completed and presented to Parties, in cooperation with IVAM Environmental Research, a survey of experiences, needs and opportunities among non-Annex II countries (covering 61 countries from all regions)			

Table 2 (d). Science and Technology programme Cooperation Implementation subprogramme

PERFORMANCE REPORT 1998-1999			
Programme: Science and Technology		**Subprogramme:** Cooperative Implementation	
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure	Core posts
Posts and other staff costs Consultants Travel of participants/expert groups Travel **Total**	816 600 60 000 36 000 47 000 **959 600**	446 605 97 339 28 175 42 783 **614 902**	D-1 Manager (vacant), P-5 Manager, P-4 Programme Officer, P-3 Programme Officer, GS Secretary (vacant)

RESULTS AND OUTPUTS

Documents prepared:

1. FCCC/SBSTA/1998/INF.3; Update on AIJ (SBSTA - eighth session)
2. FCCC/SB/1998/2; Mechanisms for issues related to cooperative implementation (SBSTA and SBI - ninth sessions)
3. FCCC/CP/1998/2; Second synthesis report on AIJ (COP 4)
4. FCCC/SB/1999/INF.1; Review of progress under the pilot phase (decision 5/CP.1) (SBSTA and SBI - tenth sessions)
5. FCCC/SBSTA/1998/INF.3; Update on AIJ (SBSTA - tenth session)
6. FCCC/SB/1999/4; Plan for facilitating capacity-building under decision 7/CP.4 (SBSTA and SBI - tenth sessions)
7. FCCC/SB/1999/INF.2; Synthesis of proposals on principles, modalities, rules and guidelines, and addendum (SBSTA and SBI - tenth sessions)

Events organized:

1. Two technical workshops on methodological issues related to project-based mechanisms; 14-18 September 1998, Abidjan, Côte d'Ivoire; 50 participants
2. Roundtable on the mechanisms; COP 4 side event
3. Technical workshop on mechanisms under the Kyoto Protocol; 9-15 April 1999, Bonn; 140 participants
4. CC: FORUM on mechanisms; side event at the tenth sessions of the SBSTA and the SBI

Other significant achievements:

1. Convened two inter-organizational meetings in conjunction with official UNFCCC sessions (SB 8 - June 1998 and COP 4 - November 1998)
2. Established an electronic list serve to share information on workshops (information being posted on website)
3. Prepared technical papers and compiled literature as inputs to workshops and CC:FORUM
4. Participated in and contributed to capacity-building workshops and technical meetings in various regions

Table 3 (a). Implementation programme
Direction and Management subprogramme

PERFORMANCE REPORT 1998-1999			
Programme: Implementation		**Subprogramme:** Direction and Management	
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure	Core posts
Posts and other staff costs	862 800	775 147	D-2 Coordinator,
Consultants	0	107 288	P-2 Programme Officer,
Travel	91 000	60 176	GS Programme Assistant,
Training	0	12 100	GS Secretary
Total	**953 800**	**954 711**	(All posts occupied)
RESULTS AND OUTPUTS			
Documents prepared: 1. FCCC/SBI/1998/1; Provisional agenda and annotations (SBI - eighth session) 2. FCCC/SBI/1998/2; Second review of the adequacy of commitments in Article 4, sub-paragraphs 2(a) and (b) (SBI - eighth session) 3. FCCC/SBI/1998/6; Report of the SBI (SBI - eighth session) 4. FCCC/SBI/1998/7; Report of the SBI (SBI - ninth session) 5. FCCC/SBI/1999/1; Provisional agenda and annotations (SBI - tenth session) 6. FCCC/SBI/1999/8; Report of the SBI (SBI - tenth session)			
Events organized: N/A			
Other significant achievements: 1. Provided support to SBI Chairman 2. Intensified cooperation with the Global Environment Facility (GEF)			

Table 3 (b). Implementation programme
Implementation Process subprogramme

PERFORMANCE REPORT 1998-1999			
Programme: Implementation		**Subprogramme:** Implementation Process	
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure	Core posts
Posts and other staff costs Consultants Expert Groups Travel **Total**	1 097 600 140 000 0 43 000 **1 280 600**	462 538 114 257 21 893 35 372 **634 060**	D-1 Manager/Deputy Coordinator, three P-3 Review Programme Officers, GS Secretary (All posts occupied)

RESULTS AND OUTPUTS

Documents prepared:

1. FCCC/AG13/1998/1; Provisional agenda and annotations of the Ad Hoc Group on Article 13 (AG13 - sixth session)
2. FCCC/AG13/1998/2; Report of the Ad Hoc Group on Article 13 (AG13 - sixth session)
3. FCCC/SBSTA/1998/3; Issues related to guidelines for the preparation of Annex I national communications (SBSTA - eighth session)
4. FCCC/CP/1998/5; Approach to comparison of data on GHG emissions (COP 4)
5. FCCC/CP/1998/11; Summary of the second compilation and synthesis of second national communications, and two addenda (COP 4)
6. FCCC/CP/1998/INF.9; Summary compilation of Annex I annual GHG emissions inventory data (COP 4)
7. FCCC/SB/1999/1/Add.2; Addendum to the report on amendments to the revised guidelines (SBSTA and SBI - tenth sessions)
8. FCCC/SBI/1999/5; Report on Annex I Parties' national GHG emissions inventory (1990 to 1996), and addendum (SBI - tenth session)
9. FCCC/TP/1999/2; Technical paper. Report on data comparisons

One informal document on procedures and mechanisms relating to compliance under the Protocol. This was presented prior to the tenth session of the SBI.

Events organized:

1. Workshop on generic issues related to guidelines for the preparation of national communications by Parties included in Annex I to the Convention; 17-19 March 1999, Bonn; 70 participants
2. Consultation on procedures and mechanisms relating to compliance under the Kyoto Protocol; tenth sessions of the SBSTA and the SBI

Other significant achievements:

1. Compiled comprehensive GHG inventories database covering all Parties that have submitted national communications, and a web interface on this database is in development
2. Supported conclusion of AG 13 work and adoption of decision on multilateral consultative committee (with one issue pending)
3. Initiated work on the first compilation and synthesis of initial national communications from non-Annex I Parties

Table 3 (c). Implementation programme
Annex I Implementation subprogramme

PERFORMANCE REPORT 1998-1999			
Programme: Implementation		**Subprogramme:** Annex I Implementation	
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure	Core posts
Posts and other staff costs	1 437 400	793 127	P-5 Manager, two P-4 Review Officers, two P-3 Review Officers, GS Secretary (All posts occupied)
Consultants	60 000	33 799	
Expert groups	120 000	150 232	
Travel	135 500	91 614	
Total	**1 752 900**	**1 068 772**	
RESULTS AND OUTPUTS			
Documents prepared: 1. FCCC/SBI/1998/INF.1; In-depth reviews of first and second national communications and scheduling for future communications (SBI - eighth session) 2. FCCC/SBI/1998/INF.2; Nomination of experts for participation in in-depth reviews (SBI - eighth session) 3. FCCC/CP/1998/4; Interim assessment of in-depth reviews (COP 4) 4. FCCC/SBI/1999/6; Future review process including that under Articles 7 and 8 of the Kyoto Protocol (SBI - tenth session) 5. FCCC/SBI/1999/INF.2; Progress report on the in-depth reviews of Annex I Parties' second national communications (SBI - tenth session)			
Events organized: Coordinated 28 in-depth review visits including participation by government-nominated experts			
Other significant achievements: 1. Coordinated preparation and publication of 14 reports on in-depth review of Annex I national communications 2. Contributed to the drafting of the compilation and synthesis of national communications 3. Contributed to the GEF inter-agency task force on incremental costs			

Table 3 (d). Implementation programme
Non-Annex I Implementation subprogramme

PERFORMANCE REPORT 1998-1999			
Programme: Implementation		**Subprogramme:** Non-Annex I Implementation	
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure	Core posts
Posts and other staff costs	691 300	380 106	P-5 Manager,
Consultants	60 000	70 598	P-4 Programme
Travel of participants/expert groups	240 000	19 249	Officer, GS Secretary
Travel	89 000	51 037	(vacant)
Workshops logistics	0	10 000	
Total	**1 080 300**	**530 990**	

RESULTS AND OUTPUTS

Documents prepared:

1. FCCC/SBI/1998/INF.3; Secretariat activities to facilitate financial and technical support (SBI - eighth session)
2. FCCC/CP/1998/INF.2; Secretariat activities to facilitate financial and technical support (SBI - ninth session)
3. FCCC/CP/1998/12/Add.1; Addendum to report of the GEF (COP 4)
4. FCCC/SBI/1999/INF.1; Provision of financial and technical support. Information on relevant action by the GEF (SBI - tenth session)
5. FCCC/SBI/1999/INF.4; List of projects submitted by non-Annex I Parties (SBI - tenth session)

Events organized:

1. Workshop on non-Annex I communications and further capacity needs; 3 April 1998, New Delhi; 10 participants
2. Workshop on emission factors and activity data; 15-18 September 1998, Havana; 76 participants
3. Training on use of CC:WEB CD-ROM for non-Annex I Parties at each of the sessions; 25 participants

Other significant achievements:

1. Disseminated CC:TRAIN package on preparing national communications
2. Compiled a database on enabling activities for preparing initial national communications

**Table 4 (a). Conference and Information Support programme
Direction and Management subprogramme**

PERFORMANCE REPORT 1998-1999			
Programme: Conference and Information Support		**Subprogramme:** Direction and Management	
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure	Core posts
Posts and other staff costs Consultants Travel **Total**	1 149 400 0 60 000 **1 209 400**	566 257 19 774 32 024 **618 055**	D-1 Coordinator, P-2 Programme Officer, two GS (Secretary, Administrative Assistant (vacant))
RESULTS AND OUTPUTS			
Documents prepared: N/A			
Events organized: N/A			
Other significant achievements: Facilitated cooperation on climate change activities with partner organizations			

Table 4 (b). Conference and Information Support programme
Conference Support subprogramme

PERFORMANCE REPORT 1998-1999			
Programme: Conference and Information Support		**Subprogramme:** Conference Support	
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure	Core posts
Posts and other staff costs	881 600	449 942	P-5 Manager, P-3 External Relations Officer, three GS (Secretary, External Relations Assistant (vacant), Meetings Services Assistant)
Consultants	65 000	35 580	
Travel	29 000	97 721	
Other contractual services	0	12 096	
Total	**975 600**	**595 339**	
RESULTS AND OUTPUTS			
Documents prepared: FCCC/SBI/1998/3; Arrangements for intergovernmental meetings (SBI - ninth session)			
Events organized: see below			
Other significant achievements: 1. Organized six weeks of meetings of the COP and its subsidiary bodies (logistics, facilities, accreditation, registration and special events) 2. Serviced four workshops 3. Edited all documents for all intergovernmental sessions			

Table 4 (c). Conference and Information Support programme
Information Support subprogramme

PERFORMANCE REPORT 1998-1999			
Programme: Conference and Information Support		**Subprogramme:** Information Support	
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure	Core posts
Posts and other staff costs	829 200	514 993	P-4 Information Technologies Officer (vacant), P-3 Network Officer (vacant), P-2 Software Officer, P-2 Support Officer, GS Secretary
Consultants	80 000	51 796	
Travel	37 000	16 660	
Supplies/equipment	269 500	104 642	
Contributions	0	20 000	
Total	**1 215 700**	**708 091**	
RESULTS AND OUTPUTS			
Documents prepared: N/A			
Events organized: N/A			
Other significant achievements: 1. Facilitated video conferencing during COP 4 2. Provided networked computer environment at all sessions and workshops 3. Developed and serviced the web site, plus special COP and subsidiary bodies module (1,110,000 hits per month) 4. Adapted a new logo 5. Developed various databases (roster of experts, national focal points, GHG inventory) 6. Developed and analysed questionnaire addressed to all participants on services provided during sessions 7. Developed a new web site			

**Table 5 (a). Resources, Planning and Coordination programme
Direction and Management subprogramme**

PERFORMANCE REPORT 1998-1999			
Programme: Resources, Planning and Coordination		**Subprogramme:** Direction and Management	
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure	Core posts
Posts and other staff costs Consultants Travel **Total**	1 337 000 80 000 91 000 **1 508 000**	889 159 59 998 55 945 **1 005 102**	D-1 Coordinator, P-5 Senior Legal Officer, P-3 Programme Officer, P-2 Programme Officer, two GS Secretaries (all posts occupied)
RESULTS AND OUTPUTS			
Documents prepared: 1. FCCC/SBI/1998/3; Arrangements for intergovernmental meetings (SBI - eighth session) 2. FCCC/CP/1998/1; Provisional agenda and annotations for COP 4, and addendum (COP 4) 3. FCCC/CP/1998/13; Review of information and possible decisions under Art. 4.2(f) of the Convention (COP 4) 4. FCCC/CP/1998/16; Report of the COP (COP 4) 5. FCCC/SBI/1999/2; Arrangements for intergovernmental meetings (SBI - tenth session) 6. FCCC/SBI/1999/7; Institutional linkage of the Convention secretariat to the United Nations (SBI - tenth session) 7. FCCC/SBI/1999/9; Proposed programme budget, 2000-2001, and addendum (SBI - tenth session) 8. FCCC/CP/1999/2; Proposal from the Republic of Kazakhstan (COP 5)			
Events organized: 1. Informal consultations by the President, 9 -10 October 1998, Buenos Aires, 30 Parties 2. Informal consultations by the President, 24 April 1999, New York, 34 Parties			
Other significant achievements: 1. Facilitated arrangements for the signing of Kyoto Protocol 2. Processed amendments to the list of Parties included in Annex I to the Convention from point of adoption at COP 3 to entry into force in August 1999 3. Coordinated the secretariat's Project Funding Group 4. Managed internal planning for intergovernmental meetings			

**Table 5 (b). Resources, Planning and Coordination programme
Financial Management and Administration subprogramme**

PERFORMANCE REPORT 1998-1999			
Programme: Resources, Planning and Coordination	**Subprogramme:** Financial Management and Administration		
FINANCIAL AND PERSONNEL RESOURCES (30.06.99)			
Object of expenditure	Biennial budget	Expenditure[1]	Core posts
- General operating expenses (includes communications charges, rental and maintenance of equipment and hospitality)	560 700	264 262	none
- Furniture and supplies	255 000	26 860	
- Contractual services (external printing, training)	185 000	72 862	
- Common services	900 000	552 365	
Total	**1 900 700**	**1 150 349**	
RESULTS AND OUTPUTS			
Documents prepared: 1. FCCC/SBI/1998/4; Administrative and financial matters (SBI - eighth session) 2. FCCC/SBI/1998/INF.4; Status of contributions (SBI - eighth session) 3. FCCC/CP/1998/8; Administrative and financial matters, and addendum (COP 4) 4. FCCC/CP/1998/9; Audited financial statements, 1996-1997 (COP 4) 5. FCCC/CP/1998/10; Audit reports (COP 4) 6. FCCC/SBI/1999/3; Administrative and financial matters (SBI - tenth session) 7. FCCC/SBI/1999/INF.5; Status of contributions (SBI - tenth session)			
Events organized: N/A			
Other significant achievements: 1. Agreement with the United Nations Office at Geneva on transfer of administrative responsibilities 2. Updating and classification of all posts 3. Support to current major recruitment exercise			

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[1] This subprogramme operates with overhead funds. The amounts shown refer to the secretariat-wide costs.